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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Complete if Known						
Application Number	09/010,919					
Filing Date	January 23, 1998					
First Named Inventor	Christopher J. Ordish					
Art Unit	3626					
Examiner Name	A. Kalinowski					
Attorney Docket Number	003432.73540					

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U.S. PATENT DOCUMENTS

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Sheet 1 of 12

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Application Number	09/010,919					
Filing Date	January 23, 1998					
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Art Unit	3626					
Examiner Name	A. Kalinowski					
Attorney Docket Number	003432.73540					

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		RDTS Prototype Message Specification Version 1.1 dated May 9, 1986.						
	-	Change_2 Pages to RDTS Prototype Message Specification Version 1.1 dated May 19, 1986.						
		RDTS Prototype Message Specification Version 1.4 dated October 30, 1988.		Ì				
+		A Conference Sponsored by Waters Information Services, Inc. dated November 2, 1988.		İ				
m		RDTS Project Scheduling Notes dated July 1, 1987.		t				

Examiner Signature	mm	Date Considered	1/27/06

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Complete if Known Substitute for form 1449A/PTO 09/010,919 Application Number INFORMATION DISCLOSURE January 23, 1998 Filing Date STATEMENT BY APPLICANT Christopher J. Ordish et al. First Named Inventor 3626 Art Unit (Use as many sheets as necessary) A. Kalinowski Examiner Name 003432.73540

of 12

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		Dealing 2000 Presentation to Marketing and Technical Executives dated May 9, 1988.				
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		D2000 MRS For Dealing and RDTS Terminal Integration dated March 25, 1988.				
1		RDTS Application Note 1 The Grouping Concept Architecture and Implementation in D2000 Phase 0 dated October 8, 1988.				
		Minutes of RDTS Development/QA Committee Meeting dated October 3, 1988.				
		RDTS SPRs for Week Ending 10/07/88.				
-		Dealing 2000 N. Keller (6138) Project #7013 dated August 1, 1988.				
_		Minutes of RDTS Development/QA Committee Meeting dated January 30, 1989.				
MI	_	RDTS Operability Requirements dated February 2, 1989.				

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Sheet 5 of 12

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Filing Date	January 23, 1998
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Art Unit	3626
Examiner Name	A. Kalinowski
Attorney Docket Number	003432.73540

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24		D2000-2 Administration Procedures: Management Summary dated November 22, 1989.	1		
		TR-AID Trading Support System.			
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1		D2000-1 Administration Guidelines dated March 17, 1989.			
+		D2000-2 Central Administration System.	1		
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20%		Transaction Desk Audit - Credit limit information dated December 12, 1989.				
		Functional Clarification dated November 14, 1989.				
		Handling of Match Notification at Client Site dated November 21, 1989.				
		NDCS Development dated November 10, 1989.				
		RDTS Archive System-Report Qualifiers dated November 8, 1989.				
+		D2000-2 = Price Updating/Cross Rate Credit Limits dated August 22, 1989.				
ne		PA Consulting Proposal For D2000-2 IBM Forms Processing & Facsimile Interfaces dated August 1, 1989.				

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Filing Date	January 23, 1998			
First Named Inventor	Christopher J. Ordish et al.			
Art Unit	3626			
Examiner Name	A. Kalinowski			
Attorney Docket Number	003432.73540			

				U.S. PATENT D	OCUMENTS	
Examiner Initials *	Cite No.'		ment Number nd Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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M		D2000-2 Software Releases dated August 22, 1989.		L		
<u>/</u>		TDESK Quorum dated July 21, 1989.				
		Broadcast Download Implementation dated July 28, 1989.				
	<u> </u>	System Clock Synchronisation dated April 25, 1989.	\prod			
		Locked Markets dated June 13, 1989.				
		D2000 Functional Changes dated June 9, 1989.				
704		D2000 Pre-Launch Requirements dated June 15, 1989.				

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271	1	D2000-2 Modifications dated June 15, 1989.		L
		D2000 Functional Changes dated June 9, 1989.		
		D2000-2 Central Administration System dated May 24, 1989.	\prod	
		Operational Requirement – Fault Tolerance D2000-2 dated May 2, 1989.	\parallel	
		Marketing and Operational Requirements dated April 28, 1989.	\parallel	_
		Minutes of the D2000 Project Control Meeting Held on May 8, 1989.	\prod	
	-	RDTS Recovery Characteristics dated April 12, 1989.		

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Complete if Known				
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Art Unit	3626			
Examiner Name	A. Kalinowski			
Attorney Docket Number	003432.73540			

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20		Component Alarms dated April 4, 1989.			
		Aggressor, Trade Token Definitions dated March 29, 1989.			
	_	Archive System dated March 17, 1989.			
- -		Downline Loading of the D2000 client site MRS – comments dated March 17, 1989.			
		Minutes of the Operations Requirements Meeting Held in Port Jefferson on February 14, dated March 7, 1989.			
_		D2000 Client Site Downline Loading dated March 7, 1989.	$ \uparrow $		
-to		D2000 Client Site Downline Loading dated March 2, 1989.			

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Sheet of 12

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3626 Art Unit A. Kalinowski Examiner Name 003432.73540 Attorney Docket Number

			U.S. PATENT	DOCUMENTS		
Cito	Docume	nt Number	Publication Date	Name of Patentee or Applicant of	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
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	Cite No.1	No. Number - Kind	No. 1 Number - Kind Code ² (if known)	Cite No.¹ Document Number Publication Date MM-DD-YYYY	Cite No. 1 Number - Kind Code ² (if known) Publication Date MM-DD-YYYY	

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UN	Note for the Record - Network Operability.				
		D2000 Client Site Downline Loading dated March 2, 1989.			
1		D2000 Client Site Software Download dated February 27, 1989.			
		RDTS Operability Requirements dated February 2, 1989.			
		Dealing 2000 Project dated December 2, 1988.			
		Operability Release – Version 2 dated January 10, 1989.			
		RDTS/D2000 Technical Requirements dated January 5, 1989.			

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Signature		Considered	17 0 17 0

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Examiner Name	A. Kalinowski	
Attorney Docket Number	003432.73540	

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ומ		D2000 Marketing Requirements dated January 10, 1989.		Ĺ
		D2000-2 Project Schedules dated December 6, 1989.		
		Results of the Forex Schedule Review dated October 27, 1989.		
\top		D2000 Implementation Status dated August 3, 1989.		
		Reports - Gantt Chart, Activity Detail and Dependency Definition dated May 4, 1989.	17	
		D2000-2 Project Schedule dated June 2, 1989.	\mathbb{T}	
- Jan		Request for Impact Statement for Potential RDTS FX Requirements dated November 29, 1988.		

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im		Phasing of RDTS FX Requirements dated October 12, 1988.	
		Engineering Developments dated November 11, 1988.	
		Standby Site for the D2000 Host – Version II dated November 3, 1988.	
1	-	D2000 Day-1 Requirements dated September 8, 1988.	
1		RDTS Day-1 Requirements dated August 30, 1988.	
 		Dealing 2000 Phase II Requirements – Priorities dated August 24, 1988.	
-		D2000 Network Control and Fault Diagnostic Requirements [V 0.2] dated July 14, 1988.	
m		Analysis of information collected from RMDS dated May 23, 1988.	1

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